

### **10.1.1**

#### **Licensing Policy Development Procedure**

##### **Policy Briefing**

1. If new internal policy and procedure has been assigned to the Quality Division by the Assistant Director (AD) of the Quality Division, a “Policy Briefing” must be prepared by the Licensing Program Administrator (LPA) within the Quality Division.
2. The Policy Briefing briefly must include:
  - a. Name of the proposed policy;
  - b. Who is requesting the policy;
  - c. Rational why the policy is necessary and issues to be addressed by the policy;
  - d. A draft policy statement that summarizes the overall directive of the policy; and
  - e. Timeline for completion.
3. The AD will review the Policy Briefing. If approved, the AD will assign the policy for research and development to the LPA.
4. The LPA will assign the policy to one of the Quality Division’s Policy Specialists, along with any supporting materials to be produced and timeline expectations.

##### **Policy Research and Development**

5. It is the responsibility of the Policy Specialist to coordinate all research required for development of the policy.
6. Policy Specialists must research the policy topic, at a minimum, by completing the following:
  - a. Assessing current practice in the field. This includes examining current practice from different geographical areas around the state, utilizing the Licensing Policy and Review Team (LPART);
  - b. Researching best practice standards as outlined in the various professional journals and publications, i.e., Caring for Our Children; and
  - c. Contacting other states to review their related policies and procedures.
7. If directed by the LPA, Policy Specialists will engage additional stakeholders in the creation of new policy and procedure. Pertinent stakeholders may include the following entities, depending on the scope of the proposed policy:
  - a. Parents
  - b. Providers (as deemed appropriate by the LPA)
  - c. Community and/or advocacy groups (as deemed appropriate by the LPA)
8. The Policy Specialist will synthesize all relevant research and stakeholder input into draft policy format, ensuring:
  - a. Proposed policy is correctly formatted with a “draft” watermark on the page;
  - b. Proposed policy is correctly formatted with the version number and date in the left hand footer;
  - c. All appropriate references are cited on the proposed policy; and

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- d. All supporting materials, as assigned by the LPA, are included and properly cross-referenced.
- 9. The proposed draft policy will be submitted to the LPA for review and approval. The LPA will ensure that all elements of the policy assignment have been completed, including any supplemental materials. If edits are required, the Policy Specialist will revise and resubmit a new version to the LPA within designated timeframes.

### **Pre-Licensing Policy and Review Team (Pre-LPART)**

- 10. Once the proposed policy has been drafted, a teleconference will be scheduled between the Policy Specialist, the LPA, the Assistant Service Area Managers (ASAMs), and the Service Area Managers (SAMs).
- 11. The purpose of this meeting is to determine whether or not the direction of the proposed policy is appropriate. At this meeting ASAMs and SAMs will discuss any potential obstacles to policy implementation and provide general feedback to the policy.
- 12. This meeting must occur prior to conducting the full Licensing Policy and Review Team (LPART) meeting (described below).

### **Licensing Policy and Review Team (LPART)**

- 13. Draft policy and all related materials must undergo a review process. At a minimum, the following individuals must review draft policy and related materials, and be invited to participate in the Licensing Policy and Review Team (LPART) meetings:
  - a. SAMs
  - b. ASAMs
  - c. LPA
  - d. Policy Specialist responsible for developing the proposed draft policy
  - e. Training Coordinator
  - f. Selected licensing staff and supervisors to be appointed by the ASAMs on a rotating, quarterly basis.
- 14. LPA will coordinate and send out the LPART agendas.
- 15. LPART meetings are intended to be intensive reviews of the proposed policy and procedure. The Policy Specialist will be responsible for hosting the meeting and reviewing the proposed policy and procedure with LPART, section by section, and soliciting feedback.
- 16. Feedback from the L-Part will be incorporated into the draft policy and procedure, as appropriate, by the Policy Specialist. The edited version will be submitted to the LPA after all edits have been made.
- 17. In some instances, an additional review by the following entities will be required, and directed by the Assistant Director of the Quality Division:
  - a. Assistant Attorney General's (AAG) Office
  - b. SEIU
  - c. Other identified stakeholders

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18. The LPA will work with ASAMs to appoint licensors and supervisors on a quarterly basis to the LPART. It is the responsibility of LPART members to review proposed policy and procedure prior to the LPART meeting and to solicit feedback from other licensing staff to bring to the meeting.

### **Assistant Director and Director Approval**

19. The LPA will prepare the proposed policy and procedure (and all related materials) for review by the Assistant Director of the Quality Division. If there are changes to any of the policy materials that do **not** fundamentally alter the meaning or process of the proposed policy (e.g., grammar), the AD will work with the LPA to make these changes.
20. The Assistant Director will prepare the approved policy and procedure (and all related materials) and submit to the Director for review and edits.
21. If the draft policy and related materials require editing, the materials will be resubmitted to the Assistant Director for correction and returned to the Director's office.
22. If the draft policy and related materials are approved, the Director will sign the policy and return all materials to the Assistant Director of the Quality Division.

### **Policy Distribution**

23. The Policy Specialist will ensure that the approved policy and related materials are:
  - a. Assigned an appropriate policy number according to the approved policy numbering system;
  - b. Scanned and added to the Insider Pages of the DEL intranet;
  - c. Added to the DEL website under the provider pages, if appropriate;
  - d. Entered into the Agency Listserv, if appropriate and directed by the Assistant Director;
  - e. Forwarded to the R&R Network, if appropriate and directed by the Assistant Director;
  - f. Forwarded to the DEL liaison with SEIU, if appropriate and directed by the Assistant Director; and
  - g. Forwarded to other invested stakeholders, if appropriate and directed by the Assistant Director.
24. The Policy Specialist is responsible for creating a policy and procedure "Tip Sheet" for each new DEL policy and procedure approved. The Tip Sheet will be assigned by the LPA, and will have final authority to approve the final version. The Tip Sheet must be posted to the DEL Insider no later than five (5) business days after the policy is approved by the Director.

### **Training**

25. After the policy and procedure has been approved by the Director, the LPA will post all related policy materials on the **Documentation Verification Queue**.
26. All DEL licensors, supervisors, and Quality Division staff will receive an automatic email stating that there are materials ready for review. DEL staff are required to read all materials on the Documentation Verification Queue and then acknowledge that they have "read and understood" all of the materials.

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27. Supervisors, ASAMs, SAMs and the AD will have access to the Documentation Verification Queue and request reports from this system to ensure that there is full compliance with reading and acknowledging new policy and procedure.
28. After the policy and procedure has been approved by the Director, the LPA will schedule a **Practice Call** in order to provide training for all licensing supervisors.
29. All DEL supervisors are expected to attend Practice Calls, via teleconference. The LPA will ensure that call-in numbers, along with an agenda, are emailed out to all participants prior to the call.
30. The purpose of the Practice Call is to:
  - a. Discuss practice implications of the new policy and procedure;
  - b. Check for understanding among all licensing supervisors;
  - c. Reinforce to all supervisors that they are responsible for reviewing new policy and procedures with their staff; and
  - d. Troubleshoot any potential problems or concerns with the new policy and procedure, and reinforce the importance of consistency in overall implementation.
31. The Practice Call is **not** an opportunity to alter or edit the approved policy and procedure. All edits to policy and procedure should occur at the time of the LPART meeting (during the policy development and review phase).

### Continuous Quality Improvement

32. All **new** licensing policy and procedure will be put on an annual schedule for review. The LPA will be responsible for ensuring that new policy is scheduled for an initial one-year review. The purpose of the review is to:
  - a. Evaluate the effectiveness of the policy during its first year. This includes examining the overall compliance rate with the policy directives, and barriers to fulfilling policy directives;
  - b. Evaluate if additional training is needed;
  - c. Make changes to the policy and related materials, as necessary; and
  - d. Identify other areas of policy and practice needed within the licensing field.
33. The LPA will distribute the policy identified for review to the LPART. The LPART will review the existing policy and make recommendations for changes and edits to the policy.
34. If there are no changes identified to the existing policy, after the L-Part meeting, the LPA will:
  - a. Change the effective dates on the policy, indicating on the policy that a review has taken place; and
  - b. Prepare the policy and procedure (and all related materials) for review and approval by the Director.
35. If changes are identified in the existing policy, the LPA will:
  - a. Ensure that all changes are documented on the Policy Review Form;
  - b. Ensure that the existing policy is modified to reflect the new changes;
  - c. Change the effective dates on the policy, indicating on the policy that a review has taken place.

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- d. Prepare the policy and procedure (and all related materials) for review by the Assistant Director; and once approved by the Assistant Director,
  - e. Prepare the policy and procedure (and all related materials) for review and approval by the Director.
36. Policy and procedure that has been through an initial (one-year) review will be placed on a bi-annual review schedule thereafter. The revised policy must reflect:
- a. The creation date
  - b. The reviewed date
  - c. The expiration date